



Attorney Docket No.: PATENT  
SSI-00700

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Maximilian A. Biberger et al.

Serial No.: 09/704,641

Filed: November 1, 2000

For: **METHOD AND APPARATUS FOR  
SUPERCritical PROCESSING  
OF A WORKPIECE**

Group Art Unit: 1763

Examiner: Ram N. Kackar

**TRANSMITTAL LETTER**

162 N. Wolfe Road  
Sunnyvale, CA 94086  
(408) 530-9700

Customer No.: 28960

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**OCT 08 2003**

**TC 1700**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313

Sir:

Enclosed please find a Supplemental Information Disclosure Statement and Form PTO-1449, including copies of the references contained thereon, for filing in the U.S. Patent and Trademark Office.

You will also find enclosed the associated Transmittals, Electronic Information Disclosure Statements, and United States Patent and Trademark Office Acknowledgment Receipts for the electronically filed Information Disclosure Statement (EFS ID #48631); (EFS ID #48632); (EFS ID #48633); and (EFS ID #48634) filed on October 1, 2003.

The Commissioner is hereby authorized to charge any additional fee or credit overpayment to our Deposit Account No. 08-1275. **An originally executed duplicate of this transmittal is enclosed for this purpose.**

Respectfully submitted,  
HAVERSTOCK & OWENS LLP

Dated: 10/1/03

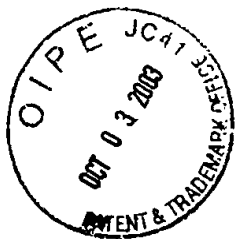
By: Thomas B. Haverstock  
Thomas B. Haverstock  
Reg. No.: 32,571

Attorneys for Applicants

**CERTIFICATE OF MAILING (37 CFR § 1.6(a))**

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) Group Art Unit: 1763

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) **SUPPLEMENTAL INFORMATION**  
) **DISCLOSURE STATEMENT**

) 162 N. Wolfe Road  
) Sunnyvale, CA 94086  
) (408) 530-9700

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313

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Sir:

The citations listed below, copies attached, may be material to the examination of the above-identified application, and are therefore submitted in compliance with the duty of disclosure defined in 37 C.F.R. §§ 1.56 and 1.97. The Examiner is requested to make these citations of official record in this application.

United States Patents or Published Patent Applications have been filed electronically (EFS ID #48631); (EFS ID #48632); (EFS ID #48633); and (EFS ID #48634). Applicants have become aware of the following printed publication which may be material to the examination of this application:

- Chinese Publication No. CN 1399790 A;
- German Publication No. DE 36 08 783 A1;
- German Publication No. DE 198 60 084 A1;
- European Publication No. EP 0 453 867 A1;
- European Publication No. EP 0 587 168 A1;
- European Publication No. EP 0 679 753 B1;
- European Publication No. EP 0 903 775 A2;
- French Publication No. FR 1 499 491;
- Great Britain Publication No. GB 2 003 975;
- Japanese Patent Abstract JP 2-209729;

Japanese Patent Abstract JP 10-335408;

Japanese Patent Abstract JP 11-200035;

- Swiss Publication No. SE 251213;
- PCT Publication No. WO 00/36635;
- PCT Publication No. WO 01/10733 A1;
- PCT Publication No. WO 01/33615 A3;
- PCT Publication No. WO 01/55628 A1;
- PCT Publication No. WO 01/68279 A2;
- PCT Publication No. WO 01/74538 A1;
- PCT Publication No. WO 01/78911 A1;
- PCT Publication No. WO 01/85391 A2;
- PCT Publication No. WO 01/94782 A3;
- PCT Publication No. WO 02/16051 A2;
- PCT Publication No. WO 03/030219 A2;
- Joseph L. Foszcz, "Diaphragm Pumps Eliminate Seal Problems", Plant Engineering , pp. 1-5, February 1, 1996; and
- Bob Agnew, "WILDEN Air-Operated Diaphragm Pumps", Process & Industrial Training Technologies, Inc., 1996.

This Supplemental Information Disclosure Statement under 37 C.F.R. §§ 1.56 and 1.97 is not to be construed as a representation that a search has been made, that additional information material to the examination of this application does not exist, or that anyone or more of these citations constitutes prior art.

Respectfully submitted,  
HAVERSTOCK & OWENS LLP

Dated: 10-11-03

By: Thomas B. Haverstock  
Thomas B. Haverstock  
Reg. No.: 32,571

Attorneys for Applicants

CERTIFICATE OF MAILING (37 CFR § 1.6(s))  
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- 2 -

HAVERSTOCK & OWENS LLP  
Date: 10-1-03 By: [Signature]

FORM PTO-1449  
(Modified)U.S. Department of Commerce  
Patent and Trademark Office

Attorney Docket No.: SSI-00700

Serial No.: 09/704,641

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Applicants: Maximilian A. Biberger et al.

(37 CFR § 1.98(b))

Filing Date: November 1, 2000

Group Art Unit: 1763

## FOREIGN PATENTS OR PUBLISHED FOREIGN PATENT APPLICATIONS

		Document Number	Publication Date	Country / Patent Office	Class	Subclass	Translation	
							Yes	No
	AA	CN 1399790 A	02/26/03	China	H01L	21/00		X
	AB	DE 36 08 783 A1	09/17/87	Germany	C30B	25/12		X
	AC	DE 198 60 084 A1	07/06/00	Germany	H01L	21/3213		X
	AD	EP 0 453 867 A1	10/30/91	EPO	F16K	51/02		X
	AE	EP 0 587 168 A1	03/16/94	EPO	B08B	7/00		X
	AF	EP 0 679 753 B1	11/02/95	EPO	D06F	43/00		X
	AG	EP 0 903 775 A2	03/24/99	EPO	H01L	21/00		X
	AH	FR 1.499.491	09/18/67	France	F16K			X
	AI	GB 2 003 975	03/21/79	Great Britain	F04B	43/06		X
	AJ	JP 2-209729	8/21/90	Japan	H01L	21/302		X
	AK	JP 10-335408	12/18/98	Japan	H01L	21/31	X	
	AL	JP 11-200035	07/27/99	Japan	C23C	14/34		X
	AM	SE 251213	08/16/48	Swiss	100a			X
	AN	WO 00/36635	06/22/00	PCT	H01L	21/00		X
	AO	WO 01/10733 A1	2/15/01	PCT	B65D	55/00		X
	AP	WO 01/33615 A3	5/10/01	PCT	H01L	21/00		X
	AQ	WO 01/55628 A1	08/02/01	PCT	F16K	51/02		X
	AR	WO 01/68279 A2	09/20/01	PCT	B08B	7/00		X
	AS	WO 01/74538 A1	10/11/01	PCT	B24C	1/00		X
	AT	WO 01/78911 A1	10/25/01	PCT	B08B	3/00		X
	AU	WO 01/85391 A2	11/15/01	PCT	B24B			X
	AV	WO 01/94782 A3	12/13/01	PCT	F04B	43/02		X
	AW	WO 02/16051 A2	02/28/02	PCT	B05D			X
	AX	WO 03/030219 A2	10/04/03	PCT	H01L			X

## OTHER DOCUMENTS (Including Author, Title, Date, Relevant Pages, Place of Publication)

	AY	Joseph L. Foszcz, "Diaphragm Pumps Eliminate Seal Problems", Plant Engineering, pp. 1-5, February 1, 1996.
	AZ	Bob Agnew, "WILDEN Air-Operated Diaphragm Pumps", Process & Industrial Training Technologies, Inc., 1996.
	BA	
	BB	
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	BE	
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	BG	

Examiner:

Date Considered:

EXAMINER:

Initial citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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## FEE TRANSMITTAL

Electronic Version v08

Stylesheet Version v08.0

Title of Invention	METHOD AND APPARATUS FOR SUPERCRITICAL PROCESSING OF A WORKPIECE		
Application Number:	09/704641	*09/704641*	
Date:	2000-11-01		
First Named Applicant:	Maximilian A. Biberger		
Attorney Docket Number:			
<b>TOTAL FEE AUTHORIZED \$180</b>			
Patent fees are subject to annual revisions on or about October 1st of each year.			
BASIC FILING FEE			
Fee Description		Fee Code	Amount \$
Submission Of Information Disclosure Stmt Fee		1806	180
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<b>AUTHORIZED BILLING INFORMATION</b>			
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Deposit account number: 081275			

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Fee transmittal

Page 2 of 2

Access Code	****
Deposit name:	Haverstock and Owens LLP
Deposit authorized name:	Thomas B. Haverstock
Signature:	/tbh/
Date (YYYYMMDD):	2003-10-01
Charge Any Additional Fee Required Under 37 C.F.R. Sections 1.16 and 1.17.	

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10/1/2003

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ACKNOWLEDGEMENT RECEIPT**

Electronic Version 1.1

Stylesheet Version v1.1.1

<b>Title of Invention</b>	<b>METHOD AND APPARATUS FOR SUPERCRITICAL PROCESSING OF A WORKPIECE</b>										
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<b>Application Number:</b>	09/704641	<b>*09/704641*</b>									
<b>EFS ID:</b>	48631										
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ISVR1	Submission was successfully submitted - Even if Informational or Warning Messages appear below, please do not resubmit this application										
ICON1	4503										
ISYS5	Filename= N/A BusinessRule= Validation System/Function Call Information. #Supporting Msg:Server unable to validate the Confirmaton/Application numbers at this time. They will be checked by PTO personnel later.										
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<b>Attorney Docket Number:</b>											
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10/1/2003

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Page 2 of 2

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TRANSMITTAL							
Electronic Version v1.1 Stylesheet Version v1.1.0							
<b>Title of Invention</b>	<b>METHOD AND APPARATUS FOR SUPERCRITICAL PROCESSING OF A WORKPIECE</b>						
<b>Application Number:</b>	<b>09/704641 *09/704641*</b>						
<b>Date:</b>	<b>2000-11-01</b>						
<b>First Named Applicant:</b>	<b>Maximilian A. Biberger</b>						
<b>Confirmation Number:</b>	<b>4503</b>						
<b>Attorney Docket Number:</b>							
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<table border="1"><thead><tr><th>Submitted by:</th><th>Elec. Sign.</th><th>Sign. Capacity</th></tr></thead><tbody><tr><td>Thomas B. Haverstock Registered Number: 32571</td><td>/tbh/</td><td>Attorney</td></tr></tbody></table>		Submitted by:	Elec. Sign.	Sign. Capacity	Thomas B. Haverstock Registered Number: 32571	/tbh/	Attorney
Submitted by:	Elec. Sign.	Sign. Capacity					
Thomas B. Haverstock Registered Number: 32571	/tbh/	Attorney					

Documents being submitted	Files
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	us-fee-sheet.dtd
us-ids	SS100700A-usidst.xml
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Comments	

## ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v1.8

Stylesheet Version v1.8.0

Title of Invention	METHOD AND APPARATUS FOR SUPERCRITICAL PROCESSING OF A WORKPIECE						
Application Number:	09/704641 *09/704641*						
Confirmation Number:	4503						
First Named Applicant:	Maximilian Biberger						
Attorney Docket Number:							
Search string:	( 2625886 or 3744660 or 3968885 or 4245154 or 4355937 or 4367140 or 4406596 or 4422651 or 4522788 or 4549467 or 4626509 or 4682937 or 4778356 or 4789077 or 4823976 or 4827867 or 4879431 or 5044871 or 5062770 or 5071485 or 5167716 or 5169296 or 5169408 or 5188515 or 5190373 or 5191993 ),pn.						
US Patent Documents							
Note: Applicant is not required to submit a paper copy of cited US Patent Documents							
Init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass
	1	2625886	1953-01-20	Browne			
	2	3744660	1973-07-10	Gaines et al.			
	3	3968885	1976-07-13	Hassan et al.			
	4	4245154	1981-01-13	Uehara et al.			
	5	4355937	1982-10-26	Mack et al.			
	6	4367140	1983-01-04	Wilson			
	7	4406596	1983-09-27	Budde			
	8	4422651	1983-12-27	Platts			
	9	4522788	1995-06-11	Sitek et al.			
	10	4549467	1985-10-29	Wilden et al.			
	11	4626509	1986-12-02	Lyman			

	12	4682937	1987-07-28	Credle, Jr.
	13	4778356	1988-10-18	Hicks
	14	4789077	1988-12-06	Noe
	15	4823976	1989-04-25	White, III et al.
	16	4827867	1989-05-09	Takel et al.
	17	4879431	1989-11-07	Bertoncini
	18	5044871	1991-09-03	Davis et al.
	19	5062770	1991-11-05	Story et al.
	20	5071485	1991-12-10	Matthews et al.
	21	5167716	1992-12-01	Boltnott et al.
	22	5169296	1992-12-08	Wilden
	23	5169408	1992-12-08	Biggerstaff et al.
	24	5188515	1993-02-23	Horn
	25	5190373	1993-03-02	Dickson et al.
	26	5191993	1993-03-09	Wanger et al.

## Remarks

Note: Remarks are not for responding to an office action.

Non US Patent and Publication references shall be filed under a separate paper transmittal.  
The current electronic filing contains part 1 out of a total of 4 electronic filings.

## Signature

Examiner Name	Date



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ACKNOWLEDGEMENT RECEIPT**

Electronic Version 1.1

Stylesheet Version v1.1.1

<b>Title of Invention</b>	<b>METHOD AND APPARATUS FOR SUPERCRITICAL PROCESSING OF A WORKPIECE</b>										
<b>Submission Type:</b>	Information Disclosure Statement										
<b>Application Number:</b>	09/704641	<b>*09/704641*</b>									
<b>EFS ID:</b>	48633										
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<b>First Named Applicant:</b>	Maximilian Biberger										
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10/1/2003

TRANSMITTAL										
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<b>Confirmation Number:</b>	4503									
<b>Attorney Docket Number:</b>										
<p>I hereby certify that the use of this system is for OFFICIAL correspondence between patent applicants or their representatives and the USPTO. Fraudulent or other use besides the filing of official correspondence by authorized parties is strictly prohibited, and subject to a fine and/or imprisonment under applicable law.</p> <p>I, the undersigned, certify that I have viewed a display of document(s) being electronically submitted to the United States Patent and Trademark Office, using either the USPTO provided style sheet or software, and that this is the document(s) I intend for initiation or further prosecution of a patent application noted in the submission. This document(s) will become part of the official electronic record at the USPTO.</p>										
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Submitted by:	Elec. Sign.	Sign. Capacity								
Thomas B. Haverstock	/tbh/	Attorney								
Registered Number: 32571										

Documents being submitted	Files
us-ids	SSI00700C-usidst.xml
	us-ids.dtd
	us-ids.xsl
Comments	

## ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v1.8

Stylesheet Version v1.8.0

Title of Invention	METHOD AND APPARATUS FOR SUPERCRITICAL PROCESSING OF A WORKPIECE						
Application Number:	09/704641 *09/704641*						
Confirmation Number:	4503						
First Named Applicant:	Maximilian Biberger						
Attorney Docket Number:							
Search string:	( 5900107 or 5904737 or 5932100 or 5934991 or 5981399 or 5989342 or 6005226 or 6029371 or 6035871 or 6037277 or 6053348 or 6056008 or 6082150 or 6085935 or 6097015 or 6128830 or 6145519 or 6159295 or 6164297 or 6203582 or 6216364 or 6239038 or 6241825 or 6251250 or 6277753 or 6286231 or 6305677 or 6334266 or 6344174 or 6388317 or 6389677 or 6418956 or 6436824 or 6454945 or 6464790 ).pn.						
US Patent Documents							
Note: Applicant is not required to submit a paper copy of cited US Patent Documents							
init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass
	1	5900107	1999-05-04	Murphy et al.			
	2	5904737	1999-05-18	Preston et al.			
	3	5932100	1999-08-03	Yager et al.			
	4	5934991	1999-08-10	Rush			
	5	5981399	1999-11-09	Kawamura et al.			
	6	5989342	1999-11-23	Ikeda et al.			
	7	6005226	1999-12-21	Aschner et al.			
	8	6029371	2000-02-29	Kamikawa et al.			
	9	6035871	2000-03-14	Eul-Yeol			
	10	6037277	2000-03-14	Masakara et al.			

11	6053348	2000-04-25	Morch	
12	6056008	2000-05-02	Adams et al.	
13	6082150	2000-07-04	Stucker	
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20	6203582	2001-03-20	Berner et al.	B1
21	6216364	2001-04-17	Tanaka et al.	B1
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25	6277753	2001-08-21	Mullee et al.	B1
26	6286231	2001-09-11	Bergman et al.	B1
27	6305677	2001-10-23	Lenz	B1
28	6334266	2002-01-01	Moritz et al.	B1
29	6344174	2002-02-05	Miller et al.	B1
30	6388317	2002-05-14	Reese	B1
31	6389677	2002-05-21	Lenz	B1
32	6418956	2002-07-16	Bloom	B1
33	6436824	2002-08-20	Chooi et al.	B1
34	6454945	2002-09-24	Welgi et al.	B1
35	6464790	2002-10-15	Shertinsky et al.	B1

## Remarks

Note: Remarks are not for responding to an office action.

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The current electronic filing contains part 3 out of a total of 4 electronic filings. Fee has been paid in previous electronic filing.

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Information Disclosure Statement

Page 3 of 3

Signature

Examiner Name	Date

**UNITED STATES PATENT AND TRADEMARK OFFICE  
ACKNOWLEDGEMENT RECEIPT**

Electronic Version 1.1

Stylesheet Version v1.1.1

<b>Title of Invention</b>	<b>METHOD AND APPARATUS FOR SUPERCRITICAL PROCESSING OF A WORKPIECE</b>										
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<b>Application Number:</b>	09/704641										
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Acknowledgement Receipt

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<b>Title of Invention</b>	<b>METHOD AND APPARATUS FOR SUPERCRITICAL PROCESSING OF A WORKPIECE</b>						
<b>Application Number:</b>	09/704641 *09/704641*						
<b>Date:</b>	2000-11-01						
<b>First Named Applicant:</b>	Maximilian A. Biberger						
<b>Confirmation Number:</b>	4503						
<b>Attorney Docket Number:</b>							
<p>I hereby certify that the use of this system is for OFFICIAL correspondence between patent applicants or their representatives and the USPTO. Fraudulent or other use besides the filing of official correspondence by authorized parties is strictly prohibited, and subject to a fine and/or imprisonment under applicable law.</p> <p>I, the undersigned, certify that I have viewed a display of document(s) being electronically submitted to the United States Patent and Trademark Office, using either the USPTO provided style sheet or software, and that this is the document(s) I intend for initiation or further prosecution of a patent application noted in the submission. This document(s) will become part of the official electronic record at the USPTO.</p>							
<table border="1"><thead><tr><th>Submitted by:</th><th>Elec. Sign.</th><th>Sign. Capacity</th></tr></thead><tbody><tr><td>Thomas B. Haverstock Registered Number: 32571</td><td>/tbh/</td><td>Attorney</td></tr></tbody></table>		Submitted by:	Elec. Sign.	Sign. Capacity	Thomas B. Haverstock Registered Number: 32571	/tbh/	Attorney
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Thomas B. Haverstock Registered Number: 32571	/tbh/	Attorney					

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<b>Comments</b>	

## ELECTRONIC INFORMATION DISCLOSURE STATEMENT

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Confirmation Number:	4503						
First Named Applicant:	Maximilian Biberger						
Attorney Docket Number:							
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US Patent Documents							
Note: Applicant is not required to submit a paper copy of cited US Patent Documents							
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	1	5195878	1993-03-23	Sahlavo et al.			
	2	5213485	1993-05-25	Wilden			
	3	5221019	1993-06-22	Pechacek			
	4	5222876	1993-06-29	Budde			
	5	5224504	1993-07-06	Thompson et al.			
	6	5236669	1993-08-17	Simmons et al.			
	7	5240390	1993-08-31	Kvinge et al.			
	8	5243821	1993-09-14	Schuck et al.			
	9	5246500	1993-09-21	Samata et al.			
	10	5251776	1993-10-12	Morgan Jr. et al.			

11	5280693	1994-01-25	Heudecker
12	5285352	1994-02-08	Pastore et al.
13	5314574	1994-05-24	Takahashi
14	5328722	1994-07-12	Ghanayem et al.
15	5339844	1994-08-23	Stanford Jr. et al.
16	5370741	1994-12-06	Bergman
17	5404894	1995-04-11	Shirahwa
18	5412958	1995-05-09	Iliff et al.
19	5433334	1995-07-18	Reneau
20	5447294	1995-09-05	Sakata et al.
21	5503176	1996-04-02	Dunmire et al.
22	5505219	1996-04-09	Lansberry et al.
23	5509431	1996-04-23	Smith, Jr. et al.
24	5571330	1996-11-05	Kyogoku
25	5589224	1996-12-31	Tepman et al.
26	5621982	1997-04-22	Yamashita et al.
27	5629918	1997-05-13	Ho et al.
28	5644855	1997-07-08	McDermott et al.
29	5649809	1997-07-22	Stapelfeldt
30	5669251	1997-09-23	Townsend et al.
31	5702228	1997-12-30	Tarnai et al.
32	5706319	1998-01-06	Holtz
33	5746008	1998-05-05	Yamashita et al.

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ACKNOWLEDGEMENT RECEIPT**

Electronic Version 1.1

Stylesheet Version v1.1.1

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<b>Title of Invention</b>	<b>METHOD AND APPARATUS FOR SUPERCritical PROCESSING OF A WORKPIECE</b>						
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<p>I hereby certify that the use of this system is for OFFICIAL correspondence between patent applicants or their representatives and the USPTO. Fraudulent or other use besides the filing of official correspondence by authorized parties is strictly prohibited, and subject to a fine and/or imprisonment under applicable law.</p> <p>I, the undersigned, certify that I have viewed a display of document(s) being electronically submitted to the United States Patent and Trademark Office, using either the USPTO provided style sheet or software, and that this is the document(s) I intend for initiation or further prosecution of a patent application noted in the submission. This document(s) will become part of the official electronic record at the USPTO.</p>							
<table border="1"><thead><tr><th>Submitted by:</th><th>Elec. Sign.</th><th>Sign. Capacity</th></tr></thead><tbody><tr><td>Thomas B. Haverstock Registered Number: 32571</td><td>/tbh/</td><td>Attorney</td></tr></tbody></table>		Submitted by:	Elec. Sign.	Sign. Capacity	Thomas B. Haverstock Registered Number: 32571	/tbh/	Attorney
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Thomas B. Haverstock Registered Number: 32571	/tbh/	Attorney					

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Comments	



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Confirmation Number:	4503						
First Named Applicant:	Maximilian Biberger						
Attorney Docket Number:							
Search string:	( 6521466 or 6541278 or 6546946 or 6550484 or 6558475 or 6561213 or 6561220 or 6561481 or 6561767 or 6564826 or 20020001929 ).pn.						
<b>US Patent Documents</b>							
Note: Applicant is not required to submit a paper copy of cited US Patent Documents							
Init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass
	1	6521466	2002-02-18	Castrucci	B1		
	2	6541278	2003-04-01	Morita et al.	B1		
	3	6546946	2003-04-15	Dunmire	B1		
	4	6550484	2003-04-22	Gopinath et al.	B1		
	5	6558475	2003-05-06	Jur et al.	B1		
	6	6561213	2003-05-13	Wang et al.	B1		
	7	6561220	2003-05-13	McCullough et al.	B1		
	8	6561481	2003-05-13	Filonczuk	B1		
	9	6561767	2003-05-13	Biberger et al.	B1		
	10	6564826	2003-05-20	Shen	B1		
<b>US Published Applications</b>							
Note: Applicant is not required to submit a paper copy of cited US Published Applications							

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	1	20020001929	2002-01-03	Biberger et al.	A1		

**Remarks**

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**Signature**

Examiner Name	Date